

Examiner-Initiated Interview Summary	Application No.	Applicant(s)	
	09/536,258	GASTINEAU ET AL.	
	Examiner	Art Unit	
	Debra F. Charles	3628	

All Participants:

(1) Debra F. Charles.

(2) Sam Sough.

Status of Application: pending

(3) Michael J. Stimson, 45429.

(4) Charles A. Baker.

Date of Interview: 12 November 2004

Time: 2pm

Type of Interview:

☐ Telephonic

☐ Video Conference

☒ Personal (Copy given to: ☐ Applicant ☒ Applicant's representative)

Exhibit Shown or Demonstrated: ☐ Yes ☒ No

If Yes, provide a brief description:

Part I.

Rejection(s) discussed:

Claims discussed:

1

Prior art documents discussed:

Press releases from the M2 Presswire, New York Times, Wall Street Journal.

Part II.

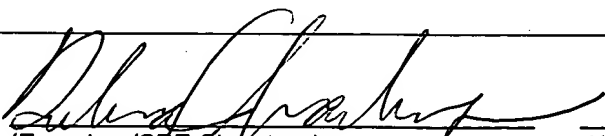
SUBSTANCE OF INTERVIEW DESCRIBING THE GENERAL NATURE OF WHAT WAS DISCUSSED:

See Continuation Sheet

Part III.

☐ It is not necessary for applicant to provide a separate record of the substance of the interview, since the interview directly resulted in the allowance of the application. The examiner will provide a written summary of the substance of the interview in the Notice of Allowability.

☒ It is not necessary for applicant to provide a separate record of the substance of the interview, since the interview did not result in resolution of all issues. A brief summary by the examiner appears in Part II above.


(Examiner/SPE Signature)

(Applicant/Applicant's Representative Signature – if appropriate)

Continuation of Substance of Interview including description of the general nature of what was discussed: Attny and applicant gave a presentation on actively-managed exchanged traded funds. Examiner will do a search on the transparency issues and creating a hedge portfolio via the modeling process in addition to investing SEC rulings that may apply to the invention..